

Disability Retirement Program: Data Collection and Management Practices

Current Practices and
Recommendations

CountyStat Principles

- **Require Data Driven Performance**
- **Promote Strategic Governance**
- **Increase Government Transparency**
- **Foster a Culture of Accountability**



Purpose of Meeting

- **Provide examples of how the application of more formal data analytics allows for greater transparency into Disability Retirement Program operations**
- **Articulate the data collection and management processes utilized in processing and tracking the County's Disability Retirement Program**
- **Identify opportunities to improve existing practices**



CountyStat Analysis of Available OHR Data

- **Data Provided by OHR:**

- Data on 224 individuals that have retired with either a service or a non-service connected disability since Jan 1, 2004 was provided by OHR's Benefits team.

- **Types of Analysis Conducted:**

- Utilization Analysis
 - Which departments have disability retirement cases
- Application Timing Analysis
 - How disability retirement case application dates align to normal retirement date
- Cost Analysis
 - What is the estimated difference in cost of disability retirement to normal retirement

Central focus of CountyStat inquire to OHR: What is the difference in disability retirement pay compared to normal retirement pay?

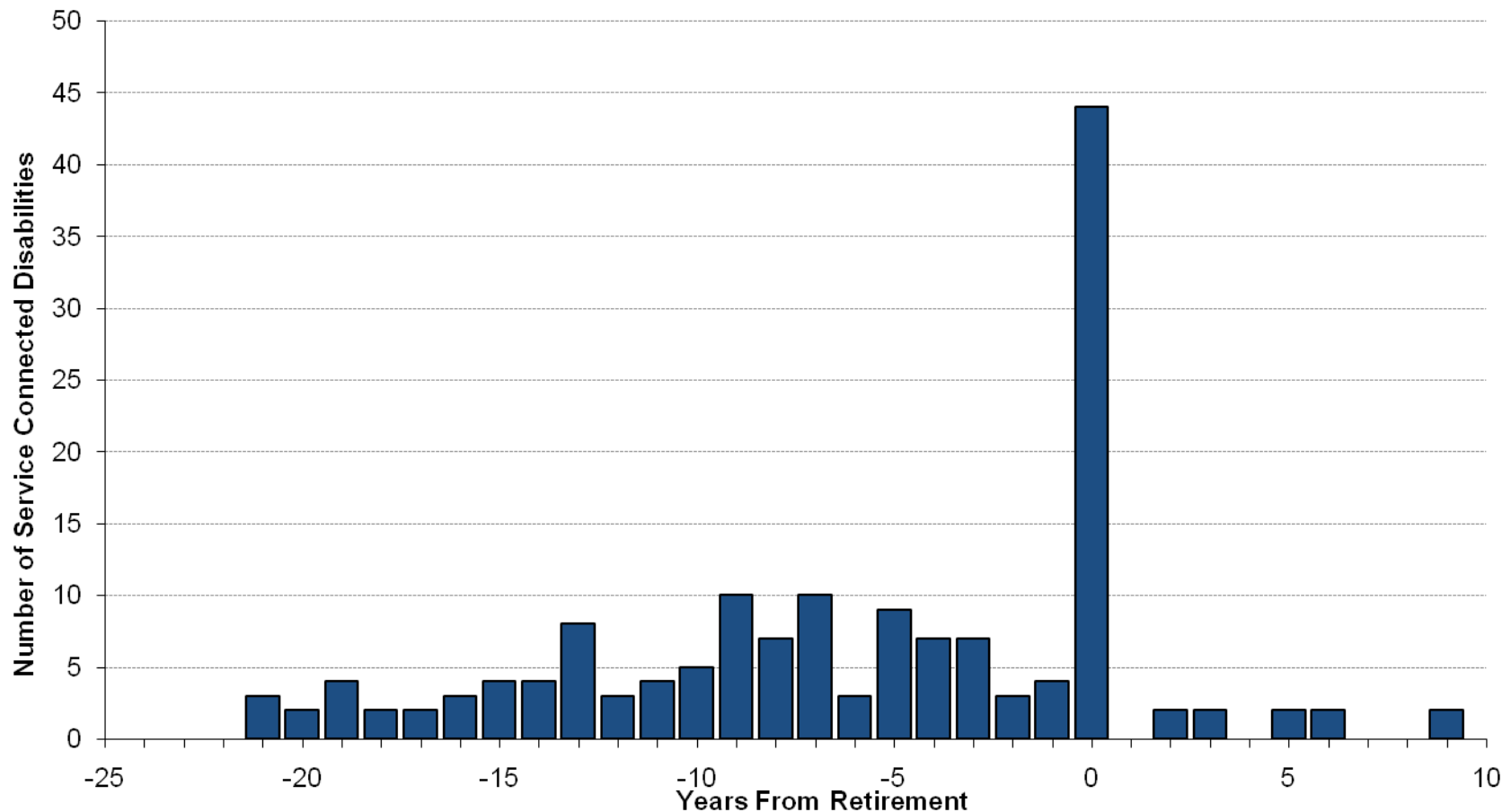


Utilization Analysis: Service Versus Non-Service Connected Disabilities By Department Since January 1, 2004.

Department	# NSCD	# SCD	Total	% SCD
POL	10	81	91	89%
FRS	1	45	46	98%
DOT	22	5	27	19%
COR	4	9	13	69%
HHS	10	1	11	9%
LIQ	1	7	8	88%
PWT	4	3	7	43%
LIB	6		6	0%
SHF		3	3	100%
DGS		2	2	100%
REC	2		2	0%
DPS		1	1	100%
DTS	1		1	0%
HCA	1		1	0%
OEM	1		1	0%
OHR		1	1	100%
OMB	1		1	0%
PRO	1		1	0%
REV	1		1	0%
Grand Total	66	158	224	71%



Application Timing Analysis: Disability Versus Normal Retirement Date Since Jan. 1, 2004



Of the 44 individuals shown retiring within +/- 6 months of their normal retirement date, 35 retired on the exact date, and another 7 were within 1 month.



Negative years represent years until normal retirement. Positive years represent years after the normal retirement date.

Application Timing Analysis: Disability Versus Normal Retirement Date for Service Connected Disabilities Since Jan. 1, 2004

Time from Normal Retirement Date	POL	FRS	Other	Total
Already past normal retirement	6%	9%	9%	8%
+/- 1 month of normal retirement	27%	36%	13%	27%
< 5 years before normal retirement	17%	9%	25%	16%
+ 5 years before normal retirement	49%	47%	53%	49%
Total number of retirees	81	45	32	158



Cost Analysis: Minimum Disability Versus Accrued Retirement Benefit Since Jan. 1, 2004

Dept	Number of Active Retirees						Total Cost					
	FY05	FY06	FY07	FY08	FY09	FY10	FY05	FY06	FY07	FY08	FY09	FY10
DGS		1	2		2			\$23,009	\$35,985		\$25,824	
DLC		3	2		1			\$49,225	\$39,286		\$0	
DOCR	2	3	2	1	1		\$39,617	\$72,905	\$45,524	\$30,066	\$18,085	
DOT	2			2			\$25,216			\$44,317		
DPS		1						\$21,683				
HHS		1						\$3,250				
MCFRS	8	13	4	7	5		\$83,310	\$199,010	\$61,765	\$63,754	\$15,632	
MCPD	14	20	12	21	8	1	\$181,639	\$340,464	\$164,010	\$460,657	\$143,804	\$19,273
OHR			1						\$19,971			
SHF			2	1					\$45,887	\$32,932		
All dept.	26	42	25	32	17	1	\$329,783	\$709,546	\$412,428	\$631,726	\$203,345	\$19,273
2010 Dollars:							\$374,485	\$778,525	\$438,154	\$646,627	\$202,774	\$19,273

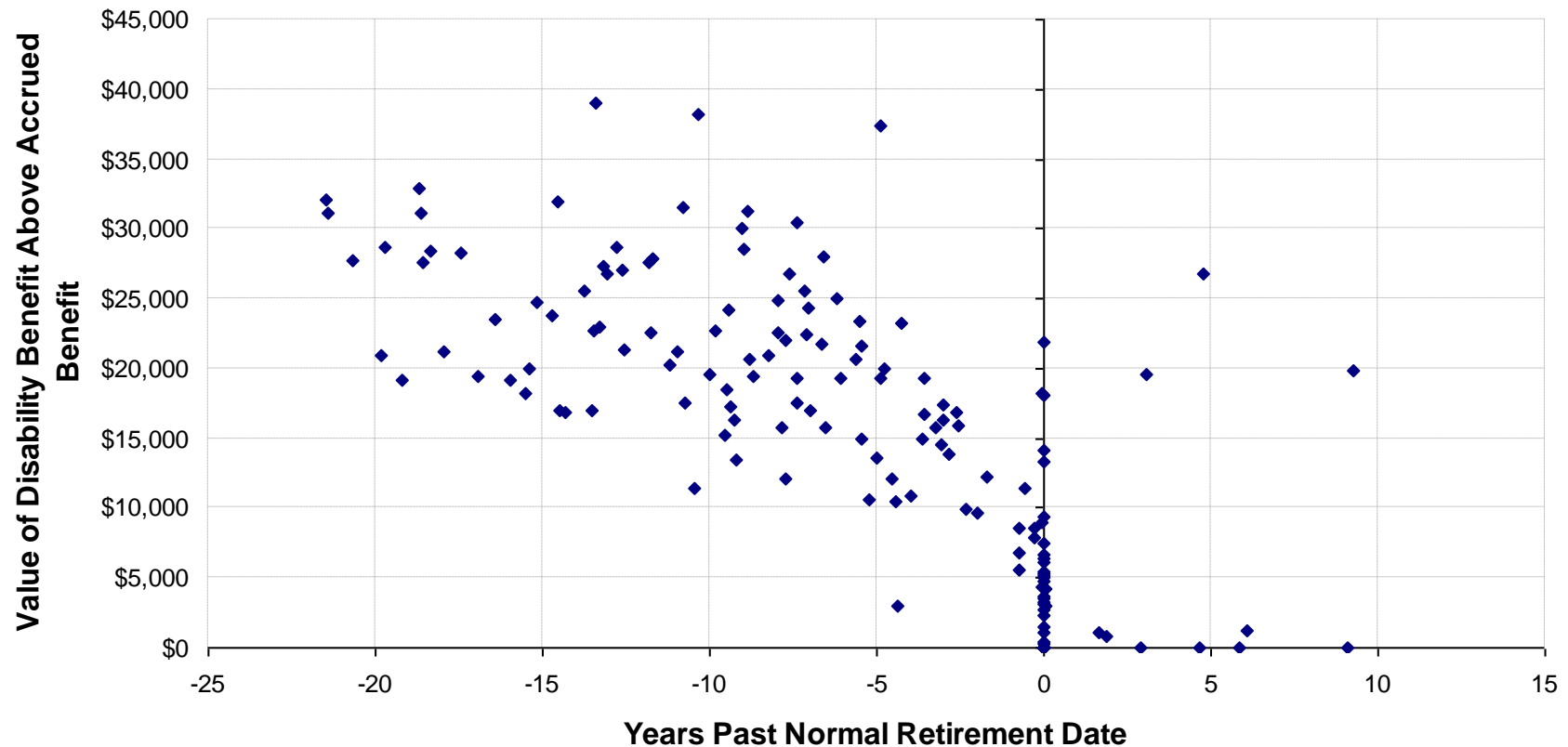


Cost Analysis: Average Disability Cost Difference per Retiree Since Jan. 1, 2004

Dept	FY05	FY06	FY07	FY08	FY09	FY10
DGS		\$23,009.00	\$17,992.50		\$12,912	
DLC		\$16,408.33	\$19,643.00		\$0	
DOCR	\$ 19,808.50	\$24,301.67	\$22,762.00	\$30,066.00	\$18,085	
DOT	\$ 12,608.00			\$22,158.50		
DPS		\$21,683.00				
HHS		\$3,250.00				
MCFRS	\$ 10,413.75	\$15,308.46	\$15,441.25	\$9,107.71	\$3,126	
MCPD	\$ 12,974.21	\$17,023.20	\$13,667.50	\$21,936.05	\$17,976	\$19,273
OHR			\$19,971.00			
SHF			\$22,943.50	\$32,932.00		
All dept.	\$ 12,683.96	\$16,893.95	\$16,497.12	\$19,741.44	\$11,961	\$19,273
2010 Dollars:	\$14,403.27	\$18,536.31	\$17,526.16	\$20,207.09	\$11,927.88	\$19,273.00



Cost Analysis: Minimum Disability Versus Accrued Retirement Benefit Since Jan. 1, 2004



On average across the cases shown, the employee's minimum disability benefit is \$15,820 higher than the benefit accrued by the employee at the time of retirement.

Negative years represent years until normal retirement. Positive years represent years after the normal retirement date.



Major Provisions of County Disability Retirement Law Revision Bill 37-08

- Increasing the independence of the Disability Review Panel by ensuring that a doctor appointed to the panel for the first time cannot be vetoed by an employee organization, as is currently allowed
- Improving medical expertise with regard to disability claim review by requiring that all four members (an increase from the current three members) of the Disability Review Panel be board certified in occupational medicine or have at least 10 years of experience practicing occupational medicine
- Requiring an independent medical examination of each disability applicant unless the nature and severity of the injury render it unnecessary
- Strengthening review of existing disability retirements by requiring an annual medical exam or a certificate from a medical doctor. This would verify a continuing disability annually for the first five years after retirement and every three years after that until age 55 for public safety employees. The Disability Review Panel may require the member to submit to an independent medical exam.
- Requiring panel decisions to be made by at least three doctors (instead of two)



Major Provisions of County Disability Retirement Law Revision Bill 37-08

- Reducing lump sum retroactive disability benefits by the amount of workers' compensation benefits received by a police officer
- Requiring applicants to report a claimed injury within one year of the time the applicant knew or should have known that the injury was disabling
- Requiring applicants to file for benefits within one year after separation from county service or by July 1, 2010, whichever is later, and, for police officers, within five years of the accident causing the impairment or by July 1, 2014, whichever is later, unless the police officer is working in a chronic incapacity position.
- Reducing the County's payment by the amount of disability payments made by another employer for the same injury, except for Social Security disability benefits
- Reducing the County's payment by the amount of outside earnings received by a former police officer who accepts employment as a sworn law enforcement officer with another government agency.

Changes to County Disability Retirement Law does not have a significant impact on existing data collection practices.



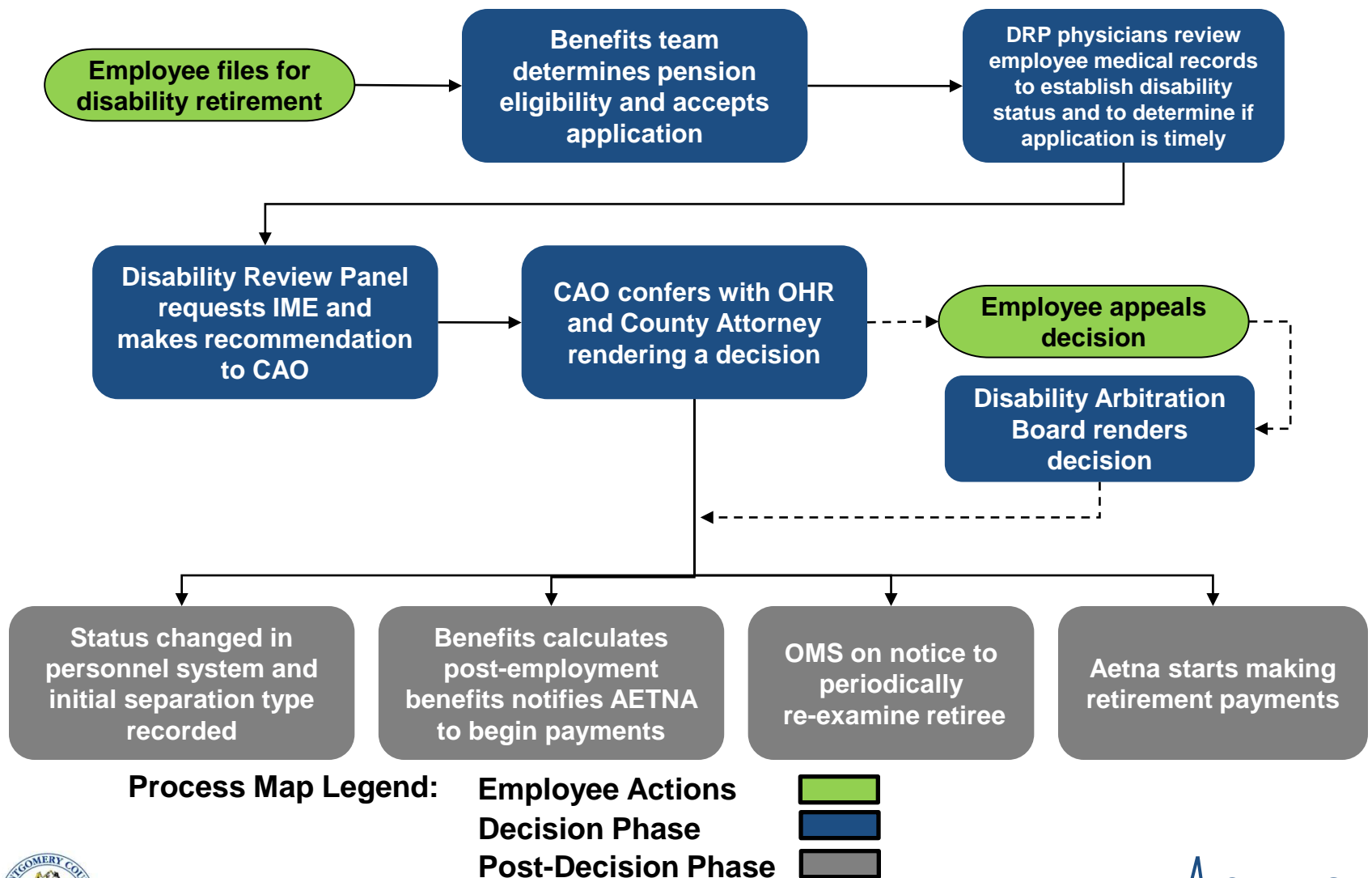
Overview of Major Phases of Disability Retirement Process

- **Pre-Disability Review Phase:** Collection of relevant information for submission to Disability Review Panel
- **Disability Review Phase:** Support Disability Review Panel, Chief Administrative Officer, and County Attorney's Office in rendering a decision
- **Post-Disability Review Phase:** Administration of benefits within system and records maintenance
- **Periodic Reevaluation Phase:** Reassessment of previous cases and administration of necessary adjustments to retirement status

At anytime, OHR should be able to report system-wide data on the number of retirees currently receiving disability retirement payments, the cost of these payments, and the status of ongoing cases.



Retirement Disability Data Collection Process



Disability Retirement Process: Pre-Disability Review Panel Phase

- OMS organizes documentation and makes a copy for each panel member.
- Notices are mailed out to the applicant requesting additional medical records. (*up to 3 notices sent*)
- Applicant information is collected and entered into Disability Retirement Access database. (*see below*)

Disability Retirement Access Database

The screenshot shows a web-based application interface for the Disability Retirement Access Database. The interface is divided into several sections:

- Applicant/Case Information:** Includes fields for Last, First, SSN, DOB, Hire Date, Ret. Plan, Union, Dept, and Job Title. There is a "Switchboard" button.
- Medical Information Requested/Received:** A table with columns for Date Req, Date Recd, Type Of Info, and Note. It shows "Open Cases?" as "No".
- Case Details:** Includes Case ID, Panel Recd, and Panel Completed? (set to "No"). It has tabs for TempReEval, Remand, and Appeal. The "Panel Lead" is selected.
- Disability Details:** Includes fields for Date Injured, Required Surgery, Diagnosis Type, Diagnosis, Injury Type, and Note.
- Documents:** Includes checkboxes for OHR Recd, OMS Recd, Panel Recd, Panel Comp, CAD Sign, and Last OMS Exam.
- IME Requested:** Includes fields for IME Doctor, IME Date, and a "Periodic ReEval?" checkbox (set to "No").
- Re-Eval Letters Mailed Out from Benefits:** Includes a "Date Mailed" field.

The interface also includes a "Record" navigation bar at the bottom of each section.

Stakeholder Data Collection

OHR / Benefits

- Application/Statement
- Counseling Check List
- Medical Release
- 3rd Party Release

OMS

- Application/Statement (copy)
- Counseling Check List (copy)
- Medical Release (copy)
- 3rd Party Release (copy)
- OMS Records
- Medical Records
- W/C Records

OMS disability retirement database was created a few years ago to track the DR process. Information is added and updated throughout the process. Reports are generated monthly & when requested.



Inventory of Data Collection: Pre-Disability Review Panel Phase

Process	Data Collected/Generated	Data Format	Data Repository
Employee meets with benefits specialist who counsels the member on disability process and necessary paperwork	DR Application/Statement Counseling Check List 3rd Party Release Medical Release	Paper	Benefits (folder)
Completed paperwork is forwarded to Occupational Medical Services (OMS).	DR Application/Statement (copy) Release-3rd Party & Medical (copy) Counseling Check List (copy)	Paper	OMS
OMS staff enters information into DR database.	Name, SSN, DOB, Hire Date, Job Title, Dept, Disability Type, Date Panel Receives Case, Panel Lead, Injury Type, Update status/decisions as case moves through the disability process. **Date of Injury, Union (newly added)**	Microsoft Access Database	OMS
OMS staff updates Disability Retirement Applicant's status in Occupational Health Manager (OHM) software.	Application Date Date OMS Receives Application Date Panel Receives Case	OHM Software	OMS
Employee has 2 weeks from date of application to supply all medical documentation and records directly to OMS. An extension can be requested.	Medical Records (originals)	Paper	OMS
When necessary, letters are sent to Applicant requesting Medical Records.	1st Notice Request for Medical Records 2nd Notice Letter - As required 3rd Notice Letter - As required	Paper	OMS
Obtains Workers' Compensation medical records from the third party administrator working with Risk Management Division of Finance.	W/C records	Paper	OMS
OMS compiles job analysis data, position description and any other applicant information or materials.	Position Description/Class Spec.	Paper	OHR Website
OMS medically processes disability retirement applications and supports four physicians on Disability Review Panel (DRP) 1. organizes, numbers pages, copies file for DRP 2. copies additional info that is received during process	DR Application / Statement (copy) Counseling Check List (copy) 3rd Party Release (copy) Medical Release (copy) OMS Records (copy) Medical Records (copy) W/C Records (copy) Position Description/Class Spec.	Paper	OMS

Disability Retirement Process: Disability Review Panel Phase

- Disability Review Panel (DRP) meets and reviews all information and evidence submitted.
- DRP must request an Independent Medical Evaluation (IME) to gather additional information.
- OMS calls to schedule the appointment with IME physician.
- Once the exam is completed, the IME physician sends a paper report to OMS. A copy is made for each panel member. (New results of IME must be given to the applicant or Rep. immediately)
- DRP again meets and reviews all information with additional input of the IME.
- Disability Retirement Panel (DRP) makes a decision and within 30 days issues a signed report of recommendations to the CAO.

▪ A copy of the Panels signed report & memo to the County Attorney is given to OMS Manager for review & signature.

▪ A copy of the Panels signed report & signed memo are sent to the County Attorney for review & signature.

▪ A copy of the Panels signed report & the County Attorneys signed memo are sent back to OMS.

▪ OHR Director Recommendation Memo & CAO Decision Memo is sent to the OHR Director for review and signatures.

Stakeholder Data Collection

Disability Review Panel

- Application/Statement (copy)
- Counseling Check List (copy)
- Medical Release (copy)
- 3rd Party Release (copy)
- Medical Records (copy)
- OMS Records (copy)
- W/C Records (copy)
- IME Report (copy)

OMS Manager

- Panel Decision Report
- County Attorney Memo

County Attorney

- Panel Decision Report (copy)
- County Attny Memo (signed by OMS Mgr.)

OMS

- Panel Decision Report (copy)
- County Attny Memo (signed OMS Mgr. & CA)
- CAO Decision Memo
- OHR Director Recommendation Memo



Inventory of Data Collection: Disability Review Panel Process

Process	Data Collected/Generated	Data Format	Data Repository
Disability Review Panel (DRP) meets and reviews all information and evidence submitted. *OMS tracks & reports weekly progress of DR process	DRP Case Status Report Tracks dates of DR process; Panel received/completed case, IME & IME report , Medical Records Requested, County Atty and CAO Decision dates.	Paper	OMS
If requested by the DRP, OMS schedules an Independent Medical Evaluation (IME) to gather additional information.	IME Report (original)	Paper	OMS
DRP again meets and reviews all information with additional input of the IME.	IME Report (copy)	Paper	OMS
Disability Review Panel (DRP) makes a decision and issues a report of recommendations to the CAO.	Disability Decision Report (original)	Paper	OMS
OMS manager reviews Disability Decision Report and prepares Memo to the County Attorney for review.	Disability Decision Report (copy) County Attorney Memo	Paper	OMS
Disability Decision Report and County Attorney Memo are sent to the Office of the County Attorney for legal review before being sent to OHR Director.	Disability Decision Report (copy) County Attorney Memo	Paper	OMS
OHR Director reviews the Disability Decision Report, the County Attorney Memo and signs Recommendation Memo. Documents are forwarded it to the CAO for approval.	Disability Decision Report (copy) County Attorney Memo (copy) OHR Director Recommendation Memo	Paper	OMS
CAO renders a decision which is sent back to OHR for processing.	Disability Decision Report (copy) County Attorney Memo (copy) OHR Director Recommendation Memo CAO Decision Memo	Paper	OMS
CAO may remand to DRP for additional review and medical information gathering .	Memo from CAO	Paper	OMS

Disability Retirement Process: Post-Disability Review Panel Phase

▪OHR Director Recommendation Memo & CAO Decision Memo are reviewed, signed, and returned to OMS.

▪OMS staff enters details of decision in OHM (below) & DR database.

OHM Database

Injury Data	Progress Note	Dr Notes	Safety	What/How	Trtment Plan	Appts
Mgmt Notes	Disability	Body Fluid	Mgmt Time	Work Comp	Where Work	Events
Mouse, Mickey 987-65-4321 / /						
#1 Type of Retirement System						
#2 Primary Diagnosis						
#3 Attorney's Name						
#4 Type of Decision						
#5 Remand Date						
#6 Appeal Date						
#7 Application Withdrawal date						
#8 Appeal Decision						
#9 Date Injury Causing Disab						
#10 Submit of Appl to D Panel						
#11 Date of Application						/ /
#12 Date of 1st Review						/ /
#13 Date of 2nd Review						/ /
#14 Date of Panel Report						/ /
#15 Date of Sign Off by CAO						/ /
#16 Date of Independ Med Exam						/ /
#17 Date of OHR Dir Signature						/ /
#18 OMS Received Application						/ /
#19 Employee Notified by OHR						/ /
#20 Temp Anniversary Date						/ /

OHM database is currently non-searchable.

Stakeholder Data Collection

OHR Director/CAO

- Panel Decision Report (copy)
- County Attny Memo (signed by OMS Mgr. & CA)
- OHR Director Recommendation Memo
- CAO Decision Memo (signed)

OMS

- Application/Statement (copy)
- Counseling Check List (copy)
- Medical Release (copy)
- 3rd Party Release (copy)
- OMS Records
- Medical Records
- W/C Records
- IME Report
- Panel Decision Report
- County Attny Memo (signed by OMS Mgr. & CA)
- OHR Director Recommendation Memo
- CAO Decision Memo (signed)



Inventory of Data Collection: Post-Disability Review Panel Process

Process	Data Collected/Generated	Data Format	Data Repository
OMS receives Disability Decision Report, County Attorney Memo, OHR Director Recommendation Memo and signed Decision Memo from CAO.	Decision entered into OHM & DR Database	Microsoft Access database/OHM	OMS
Benefits notifies applicant of decision, appeal rights, and disability retirement process.	Letter from Benefits with copy of CAO decision	Paper	OHR/Benefits
Benefits meets with applicant to discuss retirement process.	Retirement Information/Forms	Paper	OHR/Benefits (Imaging and HRB)
Applicant appeals CAO decision	Letter from applicant	Paper	OHR/Benefits
OMS notified of applicants appeal to Disability Arbitration Board (DAB)	Memo	Email	OHR/Benefits
DAB hears the matter and renders a decision.	DR Application / Statement (copy) Counseling Check List (copy) 3rd Party Release (copy) Medical Release (copy) OMS Records (copy) Medical Records (copy) W/C Records (copy) Position Description/Class Spec.	Paper	OMS
DAB notifies all parties of decision.	DAB Decision Memo	Paper	OHR/Benefits OMS
Decision Memo received in OMS.	Decision entered into OHM & DR Database	Microsoft Access database/OHM	OMS
Benefits meets with applicant to discuss retirement process.	Retirement Information/Forms	Paper	Benefits (Imaging and HRB)
Employee status changed in Benefits system.	Retirement Information/Forms	HRB	Benefits
Aetna starts making disability retirement payments	Retirement Payment Information	Paper	Aetna

Current Status of Retiree Re-Evaluations

Group 1 (1st Req)

(1st Request letters mailed 1/2009)

# Letters Sent	Panel Reviewing	No Response	Panel Decisions
30	24	*6	0

Group 1 (2nd Req)

(2nd Request letters mailed 8/2009)

*2nd Req Sent	Records Recd	Sending Records	No Response
*6	1	1	4

**In mid-August, a 2nd request for medical information was mailed to the 6 retirees who did not respond to the letter sent in January.*

Group 2 (1st Req)

(1st Request letters mailed 7/2009)

# Letters Sent	OMS Recd Records	Sending Records	No Response	Panel Reviewing
30	15	9	6	0

Groups 1 & 2 Summary

Total Letters Sent	OMS Recd Records	Retiree Sending Records	No Response	Panel Reviewing	Panel Decisions
60	16	10	10	24	0



Inventory of Data Collection: Periodic Reevaluation Phase (1 of 2)

Process	Data Collected/Generated	Data Format	Data Repository
Benefits sends letters to retirees requesting updated medical information	Medical Records	Paper	OMS
OMS receives copies of letters sent to retirees.	Letters	Paper	OMS
OMS receives Medical Records & other documents submitted by retirees.	Medical Records	Paper	OMS
Medical documents are reviewed in OMS by the Physician Consultant to determine current disability status.	Medical Records	Paper	OMS
Physician Consultant may: <ol style="list-style-type: none"> 1. send retiree for IME. 2. recommend to the CAO a waiver of the physical exam due to the nature or severity of injury or illness. 3. recommend case be submitted to DRP for redetermination of whether the individual qualifies for disability benefits. 	<ol style="list-style-type: none"> 1. IME Report (or) 2. Memo to CAO (or) 3. Memo to DRP 	Paper	OMS
Disability Review Panel (DRP) meets and reviews all information and evidence submitted. (including IME if requested)	OMS Records (copy) Medical Records (copy) W/C Records (copy) Position Description/Class Spec.	Paper	OMS



Inventory of Data Collection: Periodic Reevaluation Phase (2 of 2)

Process	Data Collected/Generated	Data Format	Data Repository
Disability Retirement Panel (DRP) makes a decision and issues a report of recommendations to the CAO.	Disability Decision Report (original)	Paper	OMS
CAO renders a decision which is sent back to OHR for processing.	CAO Decision Memo	Paper	OHR
Benefits notifies retiree of decision and appeal rights	Letter from Benefits with copy of CAO decision	Paper	OHR
Retiree appeals CAO decision	Letter from applicant	Paper	OHR
OMS notified of retiree's appeal to Disability Arbitration Board (DAB)	Memo	email	OHR
DAB hears the matter and renders a decision.	OMS Records (copy) Medical Records (copy) W/C Records (copy) Position Description/Class Spec.	Paper	OMS
DAB notifies all parties of decision.	DAB Decision Memo	Paper	OHR/Benefits OMS



CountyStat Identified Issues with Current Data Collection

- Data formatting is inconsistent and heavily reliant on paper-based files, which leads to increased workload and the creation of duplicative documentation
- Often data is stored in systems that are not interoperable and that prevent users from comparing various datasets
- The lack of an electronic search function, with the ability to generate reports, prevents comparative analysis and quick-turn data reporting
- Current data collection limitations directly impact the ability to provide real-time reporting on the status of pending disability cases or provide historical data analysis

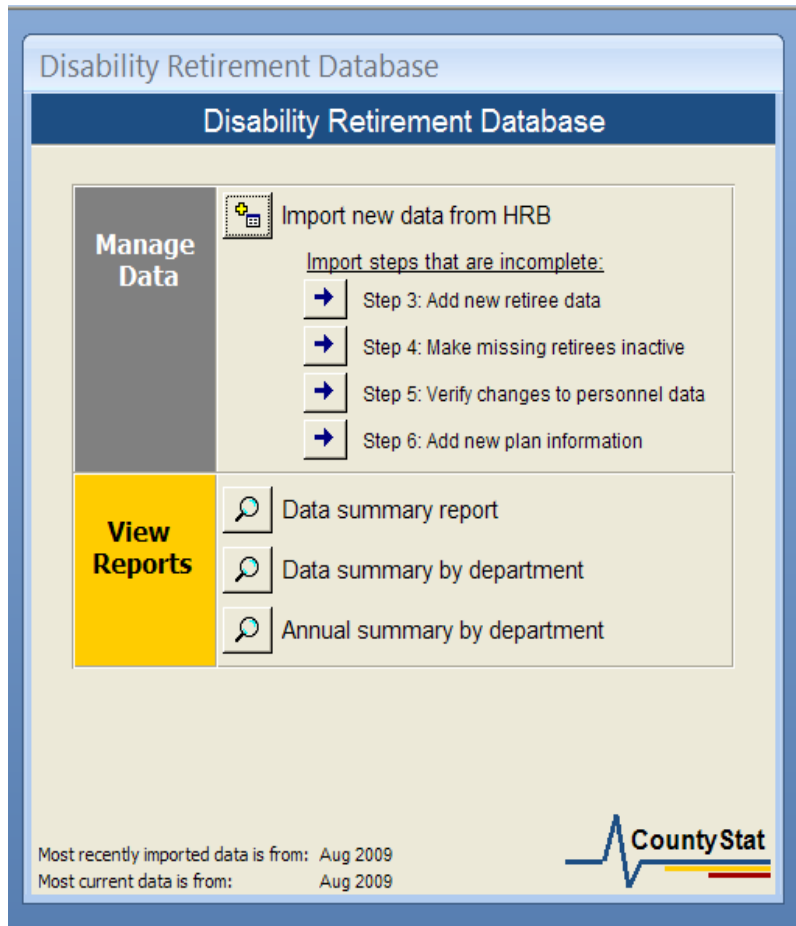


CountyStat Recommendations for Future Recordkeeping

- **Create interoperable data collection systems and eliminate paper-based or non-searchable file structures**
 - Performance Outcomes:
 - Reduce dependence on individual OHR employee subject matter expertise
 - Promotes greater transparency by lowering OHR burden for reporting
 - Provides data on current practices (such as number of appeals, etc.) that will help identify opportunities to address operational inefficiencies
 - Allows for historical analysis that can inform future decision making
 - Ability to perform quick-turn status updates on retiree data
 - Increase the validity of existing data by ensuring completeness
 - Generates more accurate data that reduces data reporting inconsistencies



CountyStat Disability Retirement Database



- **CountyStat created a Microsoft Access-based data base to assist OHR in their data collection efforts**
- **The system address three major issues**
 - Data Integrity
 - Historic Data Recording
 - Quick-turn Data Reporting

